

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

Attorney Docket No.: 2003\_1573

**First Named Inventor :** Sadao MIZUNO et al.

**Title: CONVERGING ELEMENT, OPTICAL HEAD, AND APPARATUS  
AND METHOD OF OPTICALLY RECORDING AND REPRODUCING  
INFORMATION**

Express Mail Label No.:

## APPLICATION ELEMENTS

*See MPEP chapter 600 concerning utility patent application contents.*

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

22241 U.S. PTO  
10/694993

102903

1. ☒ Fee Transmittal Form  
(Submit an original, and a duplicate for fee processing)
2. ☐ Small Entity Status is hereby asserted.
3. ☒ Specification [Total Pages: 112]  
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Sequence Listing, a table, or a computer program listing appendix.
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 USC 113) [Total Sheets: 34]
5. ☒ Oath or Declaration [Total Pages : 3]
  - a.1. ☐ Newly executed (original or copy)
  - a.2. ☐ Unexecuted
  - b. ☒ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
  - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet (see 37 CFR 1.76)

7. ☐ CD-ROM or CD-R in duplicate, large table or computer program (*Appendix*)
8. ☐ Nucleotide and/or Amino Acid Sequence Submission (*if applicable, all necessary*)
  - a. ☐ Computer Readable Form
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ Paper
  - c. ☐ The paper and computer readable copies are identical

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee)
- ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449
- ☐ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
- (if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i).
- Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other **CLAIM OF PRIORITY UNDER 35 USC 119**
- (parent application)

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below, and in a preliminary amendment, or in an Application Data Sheet :
- ☐ Continuation      ☒ Divisional      ☐ Continuation-in-part (CIP)      of prior application No. 09/700,343

*Prior Application Information*      Examiner **N. Hindi**

Group Art Unit 2655

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference therein. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

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By:

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October 29, 2003

102903 13281 U.S. PTO

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :  
Sadao MIZUNO et al. :  
Serial No. NEW : **Attn: APPLICATION BRANCH**  
Filed October 29, 2003 : Attorney Docket No. 2003\_1573

CONVERGING ELEMENT, OPTICAL HEAD, AND  
APPARATUS AND METHOD OF OPTICALLY  
RECORDING AND REPRODUCING INFORMATION  
(Rule 1.53(b) Divisional  
of Serial No. 09/700,343,  
Filed November 14, 2000)

**PATENT OFFICE FEE TRANSMITTAL FORM**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Attached hereto is a check in the amount of \$914.00 to cover Patent Office fees relating to filing the following attached papers:

Rule 53(b) application ..... \$770.00  
Additional Claims Fee:  
Excess of Twenty ..... \$144.00  
Independent ..... \$  
Multiple Dependent Fee ..... \$

A duplicate copy of this paper is being submitted for use in the Accounting Division, Office of Finance.

*The Commissioner is authorized to charge any deficiency or to credit any overpayment associated with this communication to Deposit Account No. 23-0975, with the EXCEPTION of deficiencies in fees for multiple dependent claims in new applications.*

Respectfully submitted,

Sadao MIZUNO et al.

By Michael S Huppert  
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October 29, 2003

[Check No. 58448]

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